

DRAFT

11 FEB 76

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# CIA RECORDS DESTRUCTION POLICY

Rescission: ☐ dated 7 September 1976

Reference : ☐

1. This notice informs CIA employees of the requirements that must be met before Agency records may be destroyed. In a letter to the DCI dated 21 December 1977, the Chairman of the Senate Select Committee on Intelligence noted in part that the "moratorium" on destruction of intelligence and investigative records originally requested by the Senate had expired and therefore, "all agencies maintaining records pursuant to the moratorium may return to normal records destruction policies." The requirements of the Agency's "normal records destruction policies" are outlined in this paragraph, and procedures are presented in paragraph 2. These requirements and procedures are effective upon publication of this notice; however, certain aspects of destruction approval are being worked out with Congress. Therefore, no records may be destroyed until publication of a second notice authorizing such destruction.

a. The United States Code, Title 44, Chapter 33, Disposal of Records, defines "records" as including "all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them." (44 U.S.C. 3301)

b. Federal records may not be destroyed without prior authorization by the Archivist of the United States. The Archivist authorizes destruction by signing Standard Form 115, Request for Records Disposition Authority, which identifies series of related records and specifies the time for their destruction. Within the Agency, CIA Form 139, Records Control Schedule, which includes additional detail, is used to implement the dispositions approved on SF 115. Copies of SF 115 and Form 139 are provided to the Senate Select Committee on Intelligence at least 60 days prior to their implementation.

c. Other considerations are of equal importance in deciding whether to destroy CIA records. These considerations include legislation such as the Freedom of Information Act and the Privacy Act, litigation such as federal antitrust suits and

1 "Records" include documents, whether in "soft" files or "official" files, that deal with record matters as defined above and are not merely duplicates of official record copies filed elsewhere in the Agency; records also include such things as appointment calendars, diaries, and notes if they deal with record matters as defined above.

ST

personal lawsuits, and matters under investigation by the Department of Justice or Congress. Although records subject to legal or investigative requirements are identified when a requirement arises, it is necessary to ensure that they are not inadvertently destroyed. Therefore, before destroying any Agency records, whether on paper, magnetic tape, film, or other recording media, it must be determined that there are no actual or impending legal or investigative requirements for the records.

2. The Agency Records Management Officer (Chief, Information Systems Analysis Staff, DDA), in coordination with other Agency officials, is responsible for ensuring that CIA records are properly maintained and destroyed in accordance with the above requirements. To ensure compliance, the following steps must be taken:

a. Before destroying any records, each employee must consult the component Records Management Officer (RMO) and the custodian of the records to verify that the records are scheduled for immediate destruction on an approved Form 139, Records Control Schedule. If the records are not scheduled for immediate destruction, they may not be destroyed unless the Agency RMO obtains approval to amend the records control schedule by submitting an SF 115, Request for Records Disposition Authority, to the Archivist of the United States.

b. Records relating to pending Freedom of Information Act or Privacy Act requests to the Agency are subject to additional retention periods established by the Archivist and included in the records control schedules. Normally, requested records are duplicated in their entirety at the time of a request, and the duplicate copies are maintained in accordance with the retention period for the related request. However, if such duplication is not practical, the records are instead flagged at the time of the request, using Form 4016, Information Request Flag, and must be segregated later from the records series at the time the records series is being processed for destruction. Alternatively, all records in process for destruction may be checked against an automated index of FOIA/PA requirements.

c. It also must be determined that records being processed for destruction are not related to actual or impending litigation or to matters under investigation by the Department of Justice or Congress. The initial determination will be made by the component RMO and the custodian based on their review of the records and on information provided by the General Counsel to the component RMO through the Agency and directorate RMO's. If the initial review raises any question as to actual or impending legal or investigative requirements for the records, authority to destroy them must be obtained by routing Form 141c, Request for Authorization to Retain or Destroy Questionable Records,

through the custodian and the component and directorate RMO's to the Records Administration Branch, ISAS. The Agency RMO will obtain the concurrence of the General Counsel prior to approving the actual destruction of the records. (If approval is denied, the Agency RMO must submit to the Archivist a request for authorization to retain the records longer than originally scheduled.)

d. Records authorized for destruction under the above procedures still may not be destroyed until further notice. In the interim such records will be deposited in the "destruction holding area" at the Agency Archives and Records Center.

3. "Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents" are excluded from the 44 U.S.C. 3301 definition of "records" and may be destroyed when no longer needed.<sup>2</sup>

4. Questions on implementing this policy should be directed to the component Records Management Officer.

STANSFIELD TURNER  
Director

Attachments:

1. Form 141c
2. Form 4016

DISTRIBUTION: ALL EMPLOYEES

<sup>2</sup> "Non-records" include:

"Reading file" or "chrono" copies of correspondence that are duplicates of the record copies filed in subject or project files.

"Tickler", "follow-up", or "suspense" copies of correspondence.

Identical duplicate copies of documents maintained in the same file.

Extra copies of printed or processed materials, official copies of which have been retained for record purposes.

Library reference collections of documents produced by other agencies, where the originating agency is responsible for maintaining the record copy.

Superseded manuals and other directives, maintained outside the office responsible for retaining the record set.

Routing slips and transmittal sheets without written comment of record value.

Drafts and stenographic materials which have been transcribed; reproduction materials such as stencils, hectograph masters, and offset plates.

Blank forms.

Catalogues, trade journals, and similar externally produced publications which require no action and are not part of a case upon which action is taken.

Desk calendars and notes which do not deal with record matters as defined in paragraph 1a above.

9 JAN 78

CIA RECORDS DESTRUCTION POLICY

Rescission: ☐ dated 7 September 1976

Reference : ☐

1. This notice informs CIA employees of the requirements that must be met before Agency records may be destroyed. In a letter to the DCI dated 21 December 1977, the Chairman of the Senate Select Committee on Intelligence noted in part that the "moratorium" on destruction of intelligence and investigative records originally requested by the Senate had expired and therefore, "all agencies maintaining records pursuant to the moratorium may return to normal records destruction policies." The requirements of the Agency's "normal records destruction policies" are outlined below, and procedures are presented in paragraph 2.

a. The United States Code, Title 44, Chapter 33, Disposal of Records, defines "records" as including "all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them." (44 U.S.C. 3301)<sup>1</sup>

b. Federal records may not be destroyed without prior authorization by the Archivist of the United States. The Archivist authorizes destruction by signing Standard Form 115, Request for Records Disposition Authority, which identifies series of related records and specifies the time for their destruction. Within the Agency, CIA Form 139, Records Control Schedule, which includes additional detail, is used to implement the dispositions approved on SF 115. Copies of SF 115 and Form 139 are provided to the Senate Select Committee on Intelligence, at least 60 days prior to their implementation.

*and House Permanent Select Committee on Intelligence*

c. Other considerations are of equal importance in deciding whether to destroy CIA records. These considerations include legislation such as the Freedom of Information Act and the Privacy Act, litigation such as federal antitrust suits and personal lawsuits, and matters under investigation by the Department of Justice or Congress. Although records subject to legal or investigative requirements are identified

<sup>1</sup> "Records" include documents, whether in "soft" files or "official" files, that deal with record matters as defined above and are not merely duplicates of official record copies filed elsewhere in the Agency; records also include such things as **Approved For Release 2002/08/15 : CIA-RDP86-00895R000100010049-0**

when a requirement arises, it is necessary to ensure that they are not inadvertently destroyed. Therefore, before destroying any Agency records, whether on paper, magnetic tape, film, or other recording media, it must be determined that there are no actual or impending legal or investigative requirements for the records.

2. The Agency Records Management Officer (Chief, Information Systems Analysis Staff, DDA), in coordination with other Agency officials, is responsible for ensuring that CIA records are properly maintained and destroyed in accordance with the above requirements. To ensure compliance, the following steps must be taken:

a. Before destroying any records, each employee must consult the component Records Management Officer (RMO) and the custodian of the records to verify that the records are scheduled for immediate destruction on an approved Form 139, Records Control Schedule. If the records are not scheduled for immediate destruction, they may not be destroyed unless the Agency RMO obtains approval to amend the records control schedule by submitting an SF 115, Request for Records Disposition Authority, to the Archivist of the United States.

b. Records relating to pending Freedom of Information Act or Privacy Act requests to the Agency are subject to additional retention periods established by the Archivist and included in the records control schedules. Normally, requested records are duplicated in their entirety at the time of a request, and the duplicate copies are maintained in accordance with the retention period for the related request. However, if such duplication is not practical, the records are instead flagged at the time of the request, using Form 4016, Information Request Flag, and must be segregated later from the record series at the time the record series is being processed for destruction. Alternatively, all records in process for destruction may be checked against an automated index of FOIA/PA requirements.

c. It also must be determined that records being processed for destruction are not related to actual or impending litigation or to matters under investigation by the Department of Justice or Congress. The initial determination will be made by the component RMO and the custodian based on their review of the records and on information provided by the General Counsel to the component RMO through the Agency and directorate RMO's. If the initial review raises any question as to actual or impending legal or investigative requirements for the records, authority to destroy them must be obtained by routing Form 141c, Request

for Authorization to Retain or Destroy Questionable Records, through the custodian and the component and directorate RMO's to the Records Administration Branch, ISAS. The Agency RMO will obtain the concurrence of the General Counsel prior to approving the actual destruction of the records. (If approval is denied, the Agency RMO must submit to the Archivist a request for authorization to retain the records longer than originally scheduled.)

3. "Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents" are excluded from the 44 U.S.C. 3301 definition of "records" and may be destroyed when no longer needed.<sup>2</sup>

4. Questions on implementing this policy should be directed to the component Records Management Officer.

STANSFIELD TURNER  
Director

Attachments:

1. Form 141c
2. Form 4016

DISTRIBUTION: ALL EMPLOYEES

<sup>2</sup> "Non-records" include:  
 "Reading file" or "chrono" copies of correspondence that are duplicates of the record copies filed in subject or project files.  
 "Tickler", "follow-up", or "response" copies of correspondence.  
 Identical duplicate copies of documents maintained in the same file.  
 Extra copies of printed or processed materials, official copies of which have been retained for record purposes.  
 Library reference collections of documents produced by other agencies, where the originating agency is responsible for maintaining the record copy.  
 Superseded manuals and other directives, maintained outside the office responsible for retaining the record set.  
 Routing slips and transmittal sheets without written comment of record value.  
 Drafts and stenographic materials which have been transcribed; reproduction materials such as stencils, hectograph masters, and offset plates.  
 Blank forms.  
 Catalogues, trade journals, and similar externally produced publications which require no action and are not part of a case upon which action is taken.  
 Desk calendars and notes which do not deal with record matters as defined in paragraph 1a above.

d. Records meeting the above conditions still must not be destroyed prior to 1 April 1978. In the interim, such records may be deposited in the "destruction holding area" at the Agency Archives and Records Center.

# REQUEST FOR AUTHORIZATION TO RETAIN OR DESTROY QUESTIONABLE RECORDS

1. DESTRUCTION AUTHORIZATION NO. (Assigned  
by RAB)

TO : Chief, Information Systems Analysis Staff, DDA

THRU: Component Records Management Officer  
Directorate Records Management Officer  
Records Administration Branch, ISAS/DDA  
Office of General Counsel

FROM: (OFFICE DESIGNATION OF ORIGINATOR)

2. DATE PREPARED

THE RECORDS IDENTIFIED BELOW ARE SCHEDULED FOR IMMEDIATE DESTRUCTION; HOWEVER, THEY MAY BE SUBJECT TO ACTUAL OR IMPENDING LEGAL OR INVESTIGATIVE REQUIREMENTS. AUTHORIZATION IS REQUESTED EITHER TO RETAIN THE RECORDS OR TO DESTROY THEM AS SCHEDULED. THE RECORDS ARE BEING HELD PENDING RECEIPT OF AUTHORIZATION. IF FURTHER RETENTION IS REQUIRED, REVISED DISPOSITION INSTRUCTIONS MUST BE PROVIDED TO RECORDS ADMINISTRATION BRANCH, ISAS.

## IDENTIFICATION OF RECORDS

| 3. OFFICE   | 4. SCHEDULE NO. | 5. ITEM NUMBER | 6. INCLUSIVE DATES | 7. VOLUME (cu. ft.) |
|---|-----------------|----------------|--------------------|---------------------|
| 8. PROVIDE DETAILED DESCRIPTION AND LISTING OF RECORDS AND/OR ATTACH COPY OF FORM 140 AND 140A, MARKED TO INDICATE WHICH RECORDS ARE QUESTIONABLE. EXPLAIN BASIS FOR DETERMINING THAT RECORDS ARE QUESTIONABLE. |                 |                |                    |                     |

☐ CONTINUED ON SEPARATE PAGE

9. TYPED NAME AND SIGNATURE OF CUSTODIAN OF RECORDS

EXTENSION DATE

10. TYPED NAME AND SIGNATURE OF COMPONENT RECORDS MANAGEMENT  
OFFICER

EXTENSION DATE

11. TYPED NAME AND SIGNATURE OF DIRECTORATE RECORDS MANAGEMENT  
OFFICER

EXTENSION DATE

## AUTHORIZATION TO RETAIN OR DESTROY RECORDS

RETAIN ALL

☒

RETAIN PARTIAL

☒

DESTROY ALL

12. TYPED NAME AND SIGNATURE OF GENERAL COUNSEL REPRESENTATIVE

EXTENSION DATE

APPROVED

13. TYPED NAME AND SIGNATURE OF CHIEF, INFORMATION SYSTEMS ANALYSIS STAFF

DATE

14. ☒ PROVIDE JUSTIFICATION FOR CONTINUED RETENTION. ALSO PROVIDE PROPOSED NEW DISPOSITION INSTRUCTIONS.

☒ INDICATE UNDER SECTION 8 ABOVE WHICH RECORDS ARE TO BE RETAINED. THOSE NOT INDICATED FOR RETENTION ARE AUTHORIZED FOR IMMEDIATE DESTRUCTION.

☐ CONTINUED ON SEPARATE PAGE

# INFORMATION REQUEST FLAG

THIS FORM IS USED TO SAFEGUARD FROM INADVERTENT DESTRUCTION RECORDS THAT ARE INVOLVED IN FREEDOM OF INFORMATION ACT OR PRIVACY ACT REQUESTS, LITIGATION, OR MATTERS UNDER INVESTIGATION BY THE DEPARTMENT OF JUSTICE OR CONGRESS. IT MUST BE FILED IN THE FRONT OF A FOLDER TO LIST ALL DOCUMENTS IN THE FOLDER RELATED TO A SPECIFIC REQUEST (*one form for each request*), OR AS A SINGLE ATTACHMENT TO EACH INDIVIDUAL DOCUMENT. IT MUST NOT BE REMOVED FROM THE DOCUMENT OR FOLDER UNTIL THE RECORD SERIES IS DUE FOR DESTRUCTION IN ACCORDANCE WITH APPROVED RECORDS CONTROL SCHEDULES AT WHICH TIME DISPOSITION OF FLAGGED RECORDS WILL BE CHECKED WITH THE COMPONENT RECORDS MANAGEMENT OFFICER AND OTHER AUTHORITIES AND WILL BE DEPENDENT ON THE STATUS OF EACH REQUEST.

## TYPE OF REQUEST

|                                      |  |   |
|--------------------------------------|--|---|
| <input type="checkbox"/> PRIVACY ACT | <input type="checkbox"/> CONGRESSIONAL INVESTIGATIONS    | <input type="checkbox"/> OTHER ( <i>specify</i> ) |
| <input type="checkbox"/> FOIA        | <input type="checkbox"/> DEPT. OF JUSTICE INVESTIGATIONS |   |
| <input type="checkbox"/> LITIGATION  | <input type="checkbox"/> MANDATORY CLASSIFICATION REVIEW |   |

REQUESTER

REQUEST NO.

SUBJECT OF REQUEST

DATE OF REQUEST

DOCUMENTS SUBJECT TO REQUEST - INCLUDE FILE NO., SYMBOL, DATE AND SUBJECT

☐ CONTINUED ON SEPARATE PAGE

REMARKS

☐ CONTINUED ON SEPARATE PAGE

DATE OF COMPONENT RESPONSE

DATE APPEALED (*if applicable*)

## DO NOT REMOVE THIS FORM FROM THIS FILE



RECORDS AND CORRESPONDENCE

DRAFT

17 November 1977

CIA RECORDS DESTRUCTION POLICY

Rescission [ ] dated 7 September 1976  
Reference [ ]

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c. Currently, copies of SF 115 and Form 139 are reviewed and cleared by the Senate Select Committee on Intelligence. Procedures are also being negotiated through the Legislative Counsel for the Select Committee to inspect CIA records prior to their destruction.

d. Other considerations are of equal importance in deciding whether to destroy CIA records. These considerations include legislation such as the Freedom of Information Act and the Privacy Act, litigation such as Federal antitrust suits and personal lawsuits, and matters under investigation by the Department of Justice or Congress. Although records subject to legal or investigative requirements are identified

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for Authorization to Retain or Destroy Questionable Records, through the custodian and the component and directorate RMO's to the Records Administration Branch, ISAS. The Agency RMO will obtain the concurrence of the General Counsel prior to approving the actual destruction of the records. (If approval is denied, the Agency RMO must submit to the Archivist a request for authorization to retain the records longer than originally scheduled.)

d. Records meeting the above conditions still must not be destroyed if they have not been cleared for destruction by the Senate Select Committee on Intelligence. Such records may be deposited in the "destruction holding area" at the Agency Archives and Records Center pending Select Committee Review.

3. "Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents" are excluded from the 44 U.S.C. 3301 definition of "records" and may be destroyed when no longer needed.<sup>2</sup>

4. Questions on implementing this policy should be directed to the component Records Management Officer.

John F. Blake  
Acting Deputy Director of  
Central Intelligence

Attachments:

1. Form 141c
2. Form 4016

DISTRIBUTION: ALL EMPLOYEES

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Drafts and stenographic materials which have been transcribed; reproduction materials such as stencils, hectograph masters, and offset plates.  
Blank forms.  
Catalogues, trade journals, and other externally produced publications which require no action and are not part of a case upon which action is taken.  
Desk calendars and notes which do not deal with record matters as defined in paragraph 1a above.

## RESULTS

3. DATE PREPARED

IDENTIFICATION OF RECORDS

5. PROVIDE DETAILED DESCRIPTION AND LISTING OF RECORDS AND/OR ATTACH COPY OF FORM 140 AND 147, WHERE APPLICABLE, IN THE CASES WHERE RECORDS ARE QUESTIONABLE. EXPLAIN BASIS FOR DETERMINING IF RECORDS ARE QUESTIONABLE.

☐ CONTINUED ON SEPARATE PAGE

EXTENSION 2-3

EXTENSION DATE

EXTENSION 2A.2

AUTHORIZATION TO RETAIN OR DESTROY RECORDS

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|                |
|----------------|
| EXTENSION DATE |
|----------------|

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APPROVED

12. INDICATE UNDER SECTION 8 ABOVE WHICH RECORDS ARE TO BE RETAINED. THOSE NOT INDICATED FOR RETENTION ARE TO BE DESTROYED FOR IMMEDIATE DESTRUCTION.

☐ CONTINUED ON SEPARATE PAGE

# INFORMATION REQUEST FLAG

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## TYPE OF REQUEST

|                          |             |                          |                                 |                          |                          |
|--------------------------|-------------|--------------------------|---------------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | PRIVACY ACT | <input type="checkbox"/> | CONGRESSIONAL INVESTIGATIONS    | <input type="checkbox"/> | OTHER ( <i>specify</i> ) |
| <input type="checkbox"/> | FOIA        | <input type="checkbox"/> | DEPT. OF JUSTICE INVESTIGATIONS |                          |                          |
| <input type="checkbox"/> | LITIGATION  | <input type="checkbox"/> | MANDATORY CLASSIFICATION REVIEW |                          |                          |

REQUESTER

REQUEST NO.

SUBJECT OF REQUEST

DATE OF REQUEST

DOCUMENTS SUBJECT TO REQUEST - INCLUDE FILE NO., SYMBOL, DATE AND SUBJECT

☐ CONTINUED ON SEPARATE PAGE

REMARKS

☐ CONTINUED ON SEPARATE PAGE

DATE OF COMPONENT RESPONSE

DATE APPEALED (*if applicable*)

## DO NOT REMOVE THIS FORM FROM THIS FILE

This Notice Expires 1 October 1978

Approved For Release 2002/08/15 : CIA-RDP86-00895R000100010049-0  
RECORDS AND CORRESPONDENCE

DRAFT

13 September 1977

# CIA RECORDS DESTRUCTION POLICY

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Reference: [ ]

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RECORDS AND CORRESPONDENCE

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## RECORDS AND CORRESPONDENCE

ST

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a request for

to retain the records longer than originally scheduled

d. Records meeting the above conditions still must not be destroyed if they have not been cleared for destruction by the Senate Select Committee on Intelligence. Such records may be deposited in the "destruction holding area" at the Agency Archives and Records Center pending Select Committee review.

3. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are excluded from the 44 U.S.C. 3301 definition of "records" and may be destroyed when no longer needed.<sup>2</sup>

4. Questions on implementing this policy should be directed to the component Records Management Officer.

See material

added 8

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<sup>2</sup> "Non-records" include

John F. Blake  
Acting Deputy Director of  
Central Intelligence

## Attachments:

1. Form 141c
2. Form 4016

DISTRIBUTION: ALL EMPLOYEES



Approved For Release 2002/08/15 : CIA-RDP86-00895R000100010049-0

REQUEST FOR AUTHORIZATION  
TO RETAIN OR DESTROY QUESTIONABLE RECORDS

DISPOSITION NO. (Assigned by RAB)

TO : Chief, Information Systems Analysis Staff, DDA ,

THRU: Component Records Management Officer  
 Directorate Records Management Officer  
 Records Administration Branch, ISAS/DDA  
 Office of General Counsel

FROM: (OFFICE DESIGNATION OF ORIGINATOR)

2. DATE PREPARED

THE RECORDS IDENTIFIED BELOW ARE SCHEDULED FOR IMMEDIATE DESTRUCTION; HOWEVER, THEY MAY BE SUBJECT TO ACTUAL OR IMPENDING LEGAL OR INVESTIGATIVE REQUIREMENTS. AUTHORIZATION IS REQUESTED EITHER TO RETAIN THE RECORDS OR TO DESTROY THEM AS SCHEDULED. THE RECORDS ARE BEING HELD PENDING RECEIPT OF AUTHORIZATION. IF FURTHER RETENTION IS REQUIRED, REVISED DISPOSITION INSTRUCTIONS MUST BE PROVIDED TO RECORDS ADMINISTRATION BRANCH, ISAS.

## IDENTIFICATION OF RECORDS

| 3. OFFICE | 4. SCHEDULE NO. | 5. ITEM NUMBER | 6. INCLUSIVE DATES | 7. VOLUME (cu. ft.) |
|-----------|-----------------|----------------|--------------------|---------------------|
|           |                 |                |                    |                     |

8. PROVIDE DETAILED DESCRIPTION AND LISTING OF RECORDS AND/OR ATTACH COPY OF FORM 140 AND 140A, MARKED TO INDICATE WHICH RECORDS ARE QUESTIONABLE. EXPLAIN BASIS FOR DETERMINING THAT RECORDS ARE QUESTIONABLE.

☐ CONTINUED ON SEPARATE PAGE

9. TYPED NAME AND SIGNATURE OF CUSTODIAN OF RECORDS

EXTENSION DATE

10. TYPED NAME AND SIGNATURE OF COMPONENT RECORDS MANAGEMENT OFFICER

EXTENSION DATE

11. TYPED NAME AND SIGNATURE OF DIRECTORATE RECORDS MANAGEMENT OFFICER

EXTENSION DATE

## AUTHORIZATION TO RETAIN OR DESTROY RECORDS

RETAIN ALL ☒RETAIN PARTIAL ☒DESTROY ALL ☐

12. TYPED NAME AND SIGNATURE OF GENERAL COUNSEL REPRESENTATIVE

EXTENSION DATE

APPROVED

13. TYPED NAME AND SIGNATURE OF CHIEF, INFORMATION SYSTEMS ANALYSIS STAFF

DATE

14. ☒ PROVIDE JUSTIFICATION FOR CONTINUED RETENTION. ALSO PROVIDE PROPOSED NEW DISPOSITION INSTRUCTIONS.

☒ INDICATE UNDER SECTION 8 ABOVE WHICH RECORDS ARE TO BE RETAINED. THOSE NOT INDICATED FOR RETENTION ARE AUTHORIZED FOR IMMEDIATE DESTRUCTION.

☐ CONTINUED ON SEPARATE PAGE

# INFORMATION REQUEST FLAG

THIS FORM IS USED TO SAFEGUARD FROM INADVERTENT DESTRUCTION RECORDS THAT ARE INVOLVED IN FREEDOM OF INFORMATION ACT OR PRIVACY ACT REQUESTS, LITIGATION, OR MATTERS UNDER INVESTIGATION BY THE DEPARTMENT OF JUSTICE OR CONGRESS. IT MUST BE FILED IN THE FRONT OF A FOLDER TO LIST ALL DOCUMENTS IN THE FOLDER RELATED TO A SPECIFIC REQUEST (*one form for each request*), OR AS A SINGLE ATTACHMENT TO EACH INDIVIDUAL DOCUMENT. IT MUST NOT BE REMOVED FROM THE DOCUMENT OR FOLDER UNTIL THE RECORD SERIES IS DUE FOR DESTRUCTION IN ACCORDANCE WITH APPROVED RECORDS CONTROL SCHEDULES AT WHICH TIME DISPOSITION OF FLAGGED RECORDS WILL BE CHECKED WITH THE COMPONENT RECORDS MANAGEMENT OFFICER AND OTHER AUTHORITIES AND WILL BE DEPENDENT ON THE STATUS OF EACH REQUEST.

## TYPE OF REQUEST

|                                      |  |   |
|--------------------------------------|--|---|
| <input type="checkbox"/> PRIVACY ACT | <input type="checkbox"/> CONGRESSIONAL INVESTIGATIONS    | <input type="checkbox"/> OTHER ( <i>specify</i> ) |
| <input type="checkbox"/> FOIA        | <input type="checkbox"/> DEPT. OF JUSTICE INVESTIGATIONS |   |
| <input type="checkbox"/> LITIGATION  | <input type="checkbox"/> MANDATORY CLASSIFICATION REVIEW |   |

REQUESTER

REQUEST NO.

SUBJECT OF REQUEST

DATE OF REQUEST

DOCUMENTS SUBJECT TO REQUEST - INCLUDE FILE NO., SYMBOL, DATE AND SUBJECT

☐ CONTINUED ON SEPARATE PAGE

REMARKS

☐ CONTINUED ON SEPARATE PAGE

DATE OF COMPONENT RESPONSE

DATE APPEALED (*if applicable*)

## DO NOT REMOVE THIS FORM FROM THIS FILE

RECORDS AND CORRESPONDENCE

CIA RECORDS DESTRUCTION POLICY

Rescission:  dated 7 September 1976

1. This notice informs CIA employees of the current requirements that must be met before Agency records ~~may~~ ~~can~~ be destroyed. The requirements are outlined below, and procedures are presented in paragraph 2.

a. The United States Code, Title 44, Chapter 33, Disposal of Records, defines "records" as including "all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them." (44 U.S.C. 3301)

b. Federal records may not be destroyed without prior authorization by the Archivist of the United States. The Archivist authorizes destruction by signing Standard Form 115, Request for Records Disposition Authority, which identifies series of related records and specifies the time for their destruction. Within the Agency, CIA Form 139, Records Control Schedule, which includes additional detail, is used to implement the dispositions approved on SF 115.

c. Currently, copies of SF 115 and Form 139 are reviewed and cleared by the Senate Select Committee on Intelligence, and the House Select Committee on Assassinations. Procedures are also being negotiated through the Legislative Counsel for ~~these committees~~ to inspect CIA records prior to their destruction. ~~(For informational purposes, copies of these forms are also provided to the Government Information and Individual Rights Subcommittee of the House Committee on Government Operations.)~~

d. Other considerations are of equal importance in deciding whether to destroy CIA records. These considerations include legislation such as the Freedom of Information

Act and the Privacy Act, litigation such as Federal antitrust suits and personal lawsuits, and matters under investigation by the Department of Justice or Congress. Although records subject to legal or investigative requirements are identified when a requirement arises, it is necessary to ensure that they are not inadvertently destroyed. Therefore, before destroying any Agency records, whether on paper, magnetic tape, film, or other recording media, it must be determined that there are no actual or impending legal or investigative requirements for the records.

2. The Agency Records Management Officer (Chief, Information Systems Analysis Staff, DDA), in coordination with other Agency officials, is responsible for ensuring that CIA records are properly maintained and destroyed in accordance with the above requirements. To ensure compliance, the following steps must be taken:

a. Before destroying any records, each employee must consult the component Records Management Officer (RMO) and the custodian of the records to verify that the records are scheduled for immediate destruction on an approved Form 139, Records Control Schedule. If the records are not scheduled for immediate destruction, <sup>the</sup> ~~a~~ SF 115, Request for Records Disposition Authority, ~~must be submitted to~~ the Archivist of the United States, ~~by the Agency RMO.~~

b. Records relating to pending Freedom of Information Act or Privacy Act requests to the Agency are subject to additional retention periods established by the Archivist and included in the records control schedules. Normally, requested records are duplicated <sup>in their entirety</sup> at the time of a request, and the duplicate copies are maintained in accordance with the retention period for the related request. However, if such duplication is not practical, the records are instead flagged at the time of the request, <sup>using Form 4016, Information Request Flag,</sup> and must be segregated later from the record series at the time the record series is being processed for destruction. <sup>alternatively, all records in process for destruction may be checked against an automated index of FOIA/PA requirements.</sup>

c. It also must be determined that ~~these~~ records being processed for destruction are not related to actual or impending litigation or to matters under investigation by the Department of Justice or Congress.

~~The~~ initial determination will be made by the component RMO and the custodian based on their review of the records and on information provided by the General Counsel to the component RMO through the Agency and directorate RMO's.

RECORDS AND CORRESPONDENCE

If the initial review raises any question as to actual or impending legal or investigative requirements for the records, authority to destroy them must be obtained by routing Form 141c, Request for Authorization to Retain or Destroy Questionable Records, through the custodian and the component and directorate PMO's to the Records Administration Branch, ISAS. The Agency PMO will obtain the concurrence of the General Counsel prior to approving the actual destruction of the records. (If approval is denied, a SF 115 ~~must be submitted~~ to the Archivist, requesting authorization for continued retention of the records.)

d. Records meeting the above conditions still must not be destroyed if they have not been cleared for destruction by the Senate Select Committee on Intelligence. Such records may be deposited in the "destruction holding area" at the Agency Archives and Records Center pending Select Committee review.

3. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are excluded from the 44 U.S.C. 3301 definition of "records" and may be destroyed when no longer needed.

4. Questions on implementing this policy should be directed to ~~the~~ your component Records Management Officer.

John F. Blake

Acting Deputy Director of Central Intelligence

Attachments:

1. Form 141c
2. Form 4016

DISTRIBUTION: ALL EMPLOYEES

RECORDS AND CORRESPONDENCE

27 JUNE 1977

CIA RECORDS DESTRUCTION POLICY

Rescission:  dated 7 September 1976

1. This notice informs CIA employees of the current requirements that must be met before Agency records  can be destroyed. The requirements are outlined below, and procedures are presented in paragraph 2.

a. The United States Code, Title 44, Chapter 33, Disposal of Records, defines "records" as including "all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them." (44 U.S.C. 3301)

b. Federal records may not be destroyed without prior authorization by the Archivist of the United States. The Archivist authorizes destruction by signing Standard Form 115, Request for Records Disposition Authority, which identifies series of related records and specifies the time for their destruction. Within the Agency, CIA Form 139, Records Control Schedule, which includes additional detail, is used to implement the dispositions approved on SF 115.

c. Currently, copies of SF 115 and Form 139 are reviewed and cleared by the Senate Select Committee on Intelligence and the House Select Committee on Assassinations. Procedures are also being negotiated through the Legislative Counsel for these committees to inspect CIA records prior to their destruction. (For informational purposes, copies of these forms are also provided to the Government Information and Individual Rights Subcommittee of the House Committee on Government Operations.)

} House Select  
Committee on  
Intelligence ?  
OLC

d. Other considerations are of equal importance in deciding whether to destroy CIA records. These considerations include legislation such as the Freedom of Information

Act and the Privacy Act, litigation such as Federal antitrust suits and personal lawsuits, and matters under investigation by the Department of Justice or Congress. Although records subject to legal or investigative requirements are identified when a requirement arises, it is necessary to ensure that they are not inadvertently destroyed. Therefore, before destroying any Agency records, whether on paper, magnetic tape, film, or other recording media, it must be determined that there are no actual or impending legal or investigative requirements for the records.

2. The Agency Records Management Officer (Chief, Information Systems Analysis Staff, DDA), in coordination with other Agency officials, is responsible for ensuring that CIA records are properly maintained and destroyed in accordance with the above requirements. To ensure compliance, the following steps must be taken:

a. Before destroying any records, each employee must consult the component Records Management Officer (RMO) and the custodian of the records to verify that the records are scheduled for immediate destruction on an approved Form 139, Records Control Schedule. If the records are not scheduled for immediate destruction, a SF 115, Request for Records Disposition Authority, must be submitted to the Archivist of the United States by the Agency RMO.

b. Records relating to pending Freedom of Information Act or Privacy Act requests to the Agency are subject to additional retention periods established by the Archivist and included in the records control schedules. Normally, requested records are duplicated at the time of a request, and the duplicate copies are maintained in accordance with the retention period for the related request. However, if such duplication is not practical, the records are instead flagged at the time of the request, and must be segregated later from the record series at the time the record series is being processed for destruction. *Alternatively, all records in process for destruction may be checked against an automated index of FOIA/PA requirements.*

c. It also must be determined that ~~the~~ records being processed for destruction are not related to actual or impending litigation or to matters under investigation by the Department of Justice or Congress.

*The* initial determination will be made by the component RMO and the custodian based on their review of the records and on information provided by the General Counsel to the component RMO through the Agency and directorate RMO's.

STAT

RECORDS AND CORRESPONDENCE

If the initial review raises any question as to actual or impending legal or investigative requirements for the records, authority to destroy them must be obtained by routing Form 141c, Request for Authorization to Retain or Destroy Questionable Records, through the custodian and the component and directorate RMO's to the Records Administration Branch, ISAS. The Agency RMO will obtain the concurrence of the General Counsel prior to approving the actual destruction of the records. (If approval is denied, a SF 115 must be submitted to the Archivist, requesting authorization for continued retention of the records.)

3. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are excluded from the 44 U.S.C. 3301 definition of "records" and may be destroyed when no longer needed.

4.  
B. Questions on implementing this policy should be directed to <sup>the</sup> your component Records Management Officer.

John F. Blake  
Acting Deputy Director of Central Intelligence

Attachments:

1. Form 141c
2. Form 4016

DISTRIBUTION: ALL EMPLOYEES



## REQUEST FOR AUTHORIZATION

TO RETAIN OR DESTROY QUESTIONABLE RECORDS

1. DESTRUCTION AUTHORIZATION NO. (Assigned by RAB)

TO : Chief, Information Systems Analysis Staff, DDA

FROM: (OFFICE DESIGNATION OF ORIGINATOR)

THRU: Component Records Management Officer  
 Directorate Records Management Officer  
 Records Administration Branch, ISAS/DDA  
 Office of General Counsel

2. DATE PREPARED

THE RECORDS IDENTIFIED BELOW ARE SCHEDULED FOR IMMEDIATE DESTRUCTION; HOWEVER, THEY MAY BE SUBJECT TO ACTUAL OR IMPENDING LEGAL OR INVESTIGATIVE REQUIREMENTS. AUTHORIZATION IS REQUESTED EITHER TO RETAIN THE RECORDS OR TO DESTROY THEM AS SCHEDULED. THE RECORDS ARE BEING HELD PENDING RECEIPT OF AUTHORIZATION. IF FURTHER RETENTION IS REQUIRED, REVISED DISPOSITION INSTRUCTIONS MUST BE PROVIDED TO RECORDS ADMINISTRATION BRANCH, ISAS.

## IDENTIFICATION OF RECORDS

| 3. OFFICE | 4. SCHEDULE NO. | 5. ITEM NUMBER | 6. INCLUSIVE DATES | 7. VOLUME (cu. ft.) |
|-----------|-----------------|----------------|--------------------|---------------------|
|-----------|-----------------|----------------|--------------------|---------------------|

8. PROVIDE DETAILED DESCRIPTION AND LISTING OF RECORDS AND/OR ATTACH COPY OF FORM 140 AND 140A, EXPLAIN BASIS FOR MARKED TO INDICATE WHICH RECORDS ARE DESTROYED.

SEPARATE PAGE  
☐ CONTINUED ON REVERSE

9. TYPED NAME AND SIGNATURE OF CUSTODIAN OF RECORDS

EXTENSION

DATE

10. TYPED NAME AND SIGNATURE OF COMPONENT RECORDS MANAGEMENT OFFICER

EXTENSION

DATE

11. TYPED NAME AND SIGNATURE OF DIRECTORATE RECORDS MANAGEMENT OFFICER

EXTENSION

DATE

RETAIN OR

## AUTHORIZATION TO DESTROY RECORDS

RETAIN ALL ☒  
 RETAIN PARTIAL ☒  
 DESTROY ALL ☐

12. TYPED NAME AND SIGNATURE OF GENERAL COUNSEL REPRESENTATIVE

EXTENSION

DATE

APPROVED

13. TYPED NAME AND SIGNATURE OF CHIEF, INFORMATION SYSTEMS ANALYSIS STAFF

DATE

PROPOSED

14. ☒ PROVIDE JUSTIFICATION FOR CONTINUED RETENTION. ALSO PROVIDE NEW DISPOSITION INSTRUCTIONS.  
☒ INDICATE UNDER SECTION 8 ABOVE WHICH RECORDS ARE TO BE RETAINED. THOSE NOT INDICATED FOR RETENTION ARE AUTHORIZED FOR IMMEDIATE DESTRUCTION.

SEPARATE PAGE  
☐ CONTINUED ON REVERSE

# INFORMATION REQUEST

THIS FORM IS USED TO SAFEGUARD FROM INADVERTENT DESTRUCTION RECORDS THAT ARE INVOLVED IN FREEDOM OF INFORMATION ACT OR PRIVACY ACT REQUESTS, LITIGATION, OR MATTERS UNDER INVESTIGATION BY THE DEPARTMENT OF JUSTICE OR CONGRESS. IT <sup>445</sup> ~~SHOULD~~ BE FILED IN THE FRONT OF A FOLDER TO LIST ALL DOCUMENTS IN THE FOLDER RELATED TO A SPECIFIC REQUEST (one form for each request), OR AS A SINGLE ATTACHMENT TO EACH INDIVIDUAL DOCUMENT. IT MUST NOT BE REMOVED FROM THE DOCUMENT OR FOLDER UNTIL THE RECORD SERIES IS DUE FOR DESTRUCTION IN ACCORDANCE WITH APPROVED RECORDS CONTROL SCHEDULES AT WHICH TIME DISPOSITION OF FLAGGED RECORDS WILL BE CHECKED WITH THE COMPONENT RECORDS MANAGEMENT OFFICER AND OTHER AUTHORITIES AND WILL BE DEPENDENT ON THE STATUS OF EACH REQUEST.

## TYPE OF REQUEST

PRIVACY ACT

CONGRESSIONAL INVESTIGATIONS

OTHER (specify)

FOIA

DEPT. OF JUSTICE INVESTIGATIONS

LITIGATION

MANDATORY CLASSIFICATION REVIEW

REQUESTER

REQUEST NO.

SUBJECT OF REQUEST

DATE OF REQUEST

DOCUMENTS SUBJECT TO REQUEST - INCLUDE FILE NO., SYMBOL, DATE AND SUBJECT (Attach additional sheets if necessary)

REMARKS (if applicable)

DATE OF COMPONENT RESPONSE

DATE APPEALED (if applicable)

RECEIVED NOV 17 1986

STAT

Approved For Release 2002/08/15 : CIA-RDP86-00895R000100010049-0

Approved For Release 2002/08/15 : CIA-RDP86-00895R000100010049-0

14 March 1977

MEMORANDUM FOR: Chief, Regulations Control Branch

STAT FROM :   
Chief, Records Administration Branch

STAT SUBJECT :  CIA Records Destruction Policy

STAT Attached is  CIA Records Destruction Policy,  
which is ready for formal coordination. Members of RAB  
have discussed the notice with OGC and the Directorate  
RMO's and have incorporated their suggestions.

Attachment: a/s

Distribution:

Orig - Adse w/att

1 - RAB Subj. w/att

1 - RAB Chrono w/o att

Attachment - AI/DDA

DDA/ISAS/RAB/JLB (14 Mar. 77)

*Draft*  
14 Mar 1977  
STAT

RECORDS AND CORRESPONDENCE

## CIA RECORDS DESTRUCTION POLICY

Rescission: ☐ dated 7 September 1976

1. This notice informs each CIA employee of the current requirements that must be met before Agency records legally can be destroyed. The requirements are outlined below, and procedures are presented in paragraph 2.

a. Federal records may not be destroyed without prior authorization by the Archivist of the United States. The Archivist authorizes destruction by signing Standard Form 115, Request for Records Disposition Authority, which identifies series of related records and specifies the time for their destruction. Within the Agency, CIA Form 139, Records Control Schedule, which includes additional detail, is used to implement the dispositions approved on SF 115.

b. Currently, copies of SF 115 and CIA Form 139 are reviewed and cleared by the Senate Select Committee on Intelligence and the House Select Committee on Assassinations. Procedures are also being negotiated through the Legislative Counsel for these committees to inspect selected CIA records prior to their destruction. (For informational purposes, copies of these forms are also provided to the Government Information and Individual Rights Subcommittee of the House Committee on Government Operations.)

c. Other considerations are of equal importance in deciding whether or not to destroy CIA records. These considerations include legislation such as the Freedom of Information Act and the Privacy Act, litigation such as Federal antitrust suits and personal lawsuits, and matters under investigation by the Department of Justice. Although records subject to legal or investigative requirements are identified when a requirement arises, it is necessary to ensure that they are not inadvertently destroyed. Therefore, before destroying any Agency records, whether on paper, magnetic tape, film, or other recording media, it must be determined that there are no pending legal or investigative requirements for the records.

*second draft submitted to RCB Mar 77 for first  
formal coordination*

STAT

RECORDS AND CORRESPONDENCE

*Agency*

2. The CIA Records Management Officer (Chief, Information Systems Analysis Staff, DDA), in coordination with other Agency officials, is responsible for ensuring that CIA records are properly maintained and destroyed in accordance with the above requirements. To ensure compliance, the following steps must be taken.

a. Before destroying any records, each employee must consult the Component Records Management Officer (RMO) and the custodian of the records to verify that the records are scheduled for immediate destruction on an approved *Form 139*, Records Control Schedule. If the records are not scheduled for immediate destruction, an SF 115, *Request for Records Disposition Authority*, ~~requesting destruction~~ authority must be submitted to the Archivist of the United States by the Agency RMO.

b. It also must be determined that the records are not related to litigation or possible litigation, to matters under investigation by the Department of Justice, or to Freedom of Information Act or Privacy Act requests to the Agency. For records in the office, an initial determination will be made on the basis of information provided by the General Counsel to the Component RMO through the Agency and Directorate RMO's. If the initial review raises any question as to actual or potential legal or investigative requirements for the records, authority to destroy them must be obtained by routing Form 141c, Request for Authorization to Destroy Records in Office, through the custodian and the Component and Directorate RMO's to the Records Administration Branch, ISAS. The Agency RMO will obtain the concurrence of the General Counsel prior to approving the actual destruction of the records.

c. For all records deposited in the Agency Archives and Records Center, Form 141b, Request for Authorization to Destroy Records in Records Center, will be routed through the same approval channels.

d. Extra copies of documents preserved only for convenience of reference or for distribution stocks of publications may be destroyed when no longer needed.

3. Questions on implementing this policy should be directed to your Component Records Management Officer.

E. H. Knoche  
Deputy Director of Central Intelligence

Attachments:

1. Form 141b
2. Form 141c

|  |                 |   |                      |
|--|-----------------|---|----------------------|
| <b>REQUEST FOR AUTHORIZATION<br/>TO DESTROY RECORDS IN RECORDS CENTER</b>  |                 | 1. DISPOSITION JOB NO. (Assigned by ARC)                                  |                      |
| TO : Chief, Information Systems Analysis Staff, DDA<br><br>THRU: Component Records Management Officer<br>Directorate Records Management Officer<br>Records Administration Branch, ISAS/DDA<br>Office of General Counsel              |                 | FROM:<br><br>Archives and Records<br>Center, ISAS/DDA                     |                      |
|  |                 | 2. DATE PREPARED  |                      |
| THE RECORDS IDENTIFIED BELOW ARE SCHEDULED FOR IMMEDIATE DESTRUCTION. AUTHORIZATION IS REQUESTED TO DESTROY THE RECORDS AS SCHEDULED. IF AUTHORIZATION IS DENIED, REVISED DISPOSITION INSTRUCTIONS MUST BE PROVIDED TO RAB AND NARS. |                 |   |                      |
| IDENTIFICATION OF RECORDS  |                 |   |                      |
| 3. OFFICE  | 4. SCHEDULE NO. | 5. ITEM NUMBER  | 6. ACCESSION JOB NO. |
|  |                 |   |                      |
| 7. BOX NUMBERS   |                 |   |                      |
|  |                 |   |                      |
| 8. COMPONENT RMO WILL ATTACH A COPY OF FORM 140 AND 140A. IF FORM 140A "SHELF LIST" IS NOT AVAILABLE THEN PROVIDE A DETAILED DESCRIPTION OF THE RECORDS  |                 |   |                      |
|  |                 |   |                      |
| <input type="checkbox"/> CONTINUED ON REVERSE  |                 |   |                      |
| CONCUR/APPROVED<br>YES      NO*  |                 | AUTHORIZATION TO DESTROY RECORDS  |                      |
|  |                 | 9. TYPED NAME AND SIGNATURE OF CUSTODIAN OF RECORDS                       |                      |
|  |                 | EXTENSION   | DATE                 |
|  |                 | 10. TYPED NAME AND SIGNATURE OF COMPONENT RECORDS MANAGEMENT OFFICER      |                      |
|  |                 | EXTENSION   | DATE                 |
|  |                 | 11. TYPED NAME AND SIGNATURE OF DIRECTORATE RECORDS MANAGEMENT OFFICER    |                      |
|  |                 | EXTENSION   | DATE                 |
|  |                 | 12. TYPED NAME AND SIGNATURE OF GENERAL COUNSEL REPRESENTATIVE            |                      |
|  |                 | EXTENSION   | DATE                 |
|  |                 | 13. TYPED NAME AND SIGNATURE OF CHIEF, INFORMATION SYSTEMS ANALYSIS STAFF |                      |
|  |                 | DATE  |                      |
| 14. *PROVIDE REASON FOR DENIAL. ALSO PROVIDE NEW DISPOSITION INSTRUCTIONS  |                 |   |                      |
|  |                 |   |                      |
| <input type="checkbox"/> CONTINUED ON REVERSE  |                 |   |                      |
| FOR RECORDS CENTER USE ONLY  |                 |   |                      |
| DESTROYED  |                 | REMARKS   |                      |
| PARTIAL JOB (Box Nos.)   |                 |   |                      |
| COMPLETE JOB   |                 |   |                      |
|  |                 | CHIEF, DISPOSITION SECTION, ARC      DATE                                 |                      |

STAT

Approved For Release 2002/08/15 : CIA-RDP86-00895R000100010049-0

Approved For Release 2002/08/15 : CIA-RDP86-00895R000100010049-0




RECORDS AND CORRESPONDENCE



7 FEB 77

CIA RECORDS DESTRUCTION POLICY

Rescission:  dated 7 September 1976

1. This notice informs each CIA employee of the current requirements that must be fulfilled before Agency records legally can be destroyed. The requirements are outlined below and summarized in paragraph 5.

2. The basic legal requirement for the destruction of Federal records is the prior approval of the Archivist of the United States. This approval is obtained by submitting to the Archivist Standard Form 115, Request for Records Disposition Authority, which identifies series of related records and requests approval to destroy each record series immediately or after a specified period of time. Within CIA Form 139, Records Control Schedule, which is a more detailed version of SF 115, is used to implement the approved dispositions.

3. Although the Records Control Schedule reflects the basic authorization to destroy Federal records, other factors bear equally on the decision to destroy CIA records. These factors include legislation such as the Freedom of Information Act and the Privacy Act, litigation such as Federal antitrust suits and personal lawsuits, and matters under investigation by the Department of Justice. Records subject to these factors are identified when a requirement arises; however, it is necessary to insure that records subject to these requirements are not inadvertently destroyed. Therefore, before destroying any Agency records, whether on paper, magnetic tape, film, or other recording media, a determination must be made that there are no pending legal or investigative requirements for the records.

4. The CIA Records Management Officer (Chief, Information Systems Analysis Staff, DDA), in coordination with other Agency officials, is responsible for ensuring that CIA records are properly maintained and destroyed in accordance with the above requirements. To ensure compliance with these requirements before destroying any records, each employee must consult the component Records Management Officer (RMO) to determine that the records are scheduled for immediate destruction on an approved Records Control Schedule, and based on information provided by the General Counsel through the CIA RMO and Directorate RMO, that they are not subject to pending legal or investigative requirements. If the records are not covered by an approved records control schedule, or if they are covered but not scheduled for immediate destruction, a SF 115 must be submitted to the Archivist of the United States by the Agency RMO. If it is determined that the records may be subject to pending legal or investigative requirements, the proposed destruction must be submitted through the Directorate RMO to the Agency RMO for concurrence by the General Counsel prior to destruction. The procedure for obtaining this clearance is in paragraph 5c, below.

STAT

RECORDS AND CORRESPONDENCE

5. In summary, CIA policy requires that the following approval and clearance authorizations be obtained before any records are destroyed:

a. The Archivist of the United States must approve SF 115, Request for Records Disposition Authority, authorizing destruction of the records.

b. Currently, copies of SF 115 and Form 139, Records Control Schedule, are reviewed and cleared by the Senate Select Committee on Intelligence and the House Select Committee on Assassinations. Procedures are also being negotiated through the Legislative Counsel for these committees to inspect CIA records prior to their destruction. (For informational purposes, copies of these forms are also provided to the Government Information and Individual Rights Subcommittee of the House Committee on Government Operations.)

c. A determination must be made that the records are not related to litigation or possible litigation, to matters under investigation by the Department of Justice, or to Freedom of Information Act or Privacy Act requests to the Agency. For all records deposited in the Agency Archives and Records Center, this determination will be obtained by routing Form 141b, Request for Authorization to Destroy Records in Records Center, through the Component and Directorate RMO's to the Records Administration Branch, ISAS. The Agency Records Management Officer will obtain the concurrence of the General Counsel prior to approving the actual destruction of the records. For records in the office which raise any question as to actual or potential legal or investigative requirements, a similar clearance procedure will be followed, using Form 141c, Request for Authorization to Destroy Records in Office.

d. Extra copies of documents preserved only for convenience of reference or for distribution stocks of publications may be destroyed when no longer needed.

6. Questions on the implementation of this policy should be directed to your component Records Management Officer.

E. H. Knoche  
Deputy Director of Central Intelligence

DISTRIBUTION: ALL EMPLOYEES

DRAFT

REQUEST FOR AUTHORIZATION TO DESTROY RECORDS IN RECORDS CENTER  
 Approved For Release 2002/08/15 : CIA-RDP86-00895R000100010049-0 (Assigned by ARC)

TO : Chief, Information Systems Analysis Staff, DDA

FROM:

THRU: Component Records Management Officer  
 Directorate Records Management Officer  
 Records Administration Branch, ISAS/DDA  
 Office of General Counsel

Archives and Records  
 Center, ISAS/DDA

2. DATE PREPARED

THE RECORDS IDENTIFIED BELOW ARE SCHEDULED FOR IMMEDIATE DESTRUCTION. AUTHORIZATION IS REQUESTED TO DESTROY THE RECORDS AS SCHEDULED. IF AUTHORIZATION IS DENIED, REVISED DISPOSITION INSTRUCTIONS MUST BE PROVIDED TO RAB AND NARS.

IDENTIFICATION OF RECORDS

| 3. OFFICE | 4. SCHEDULE NO. | 5. ITEM NUMBER | 6. ACCESSION JOB NO. | 7. BOX NUMBERS |
|-----------|-----------------|----------------|----------------------|----------------|
|           |                 |                |                      |                |

8. COMPONENT RMO WILL ATTACH A COPY OF FORM 140 AND 140A. IF FORM 140A "SHELF LIST" IS NOT AVAILABLE THEN PROVIDE A DETAILED DESCRIPTION OF THE RECORDS

☐ CONTINUED ON REVERSE

CONCUR/APPROVED

YES

NO\*

AUTHORIZATION TO DESTROY RECORDS

9. TYPED NAME AND SIGNATURE OF COMPONENT RECORDS MANAGEMENT OFFICER

EXTENSION

DATE

10. TYPED NAME AND SIGNATURE OF DIRECTORATE RECORDS MANAGEMENT OFFICER

EXTENSION

DATE

11. TYPED NAME AND SIGNATURE OF GENERAL COUNSEL REPRESENTATIVE

EXTENSION

DATE

12. TYPED NAME AND SIGNATURE OF CHIEF, INFORMATION SYSTEMS ANALYSIS STAFF

DATE

13. \*PROVIDE REASON FOR DENIAL. ALSO PROVIDE NEW DISPOSITION INSTRUCTIONS

☐ CONTINUED ON REVERSE

FOR RECORDS CENTER USE ONLY

DESTROYED

PARTIAL JOB (Box Nos.)

REMARKS

COMPLETE JOB

CHIEF, DISPOSITION SECTION, ARC

DATE

PROPOSED INSTRUCTIONS AND FLOW OF FORMS 141B and 141C IN CONJUNCTION

WITH PROPOSED



"CIA RECORDS DESTRUCTION POLICY"

FORM 141B - REQUEST FOR AUTHORIZATION TO DESTROY  
RECORDS IN RECORDS CENTER--4 part set

1. When due date for destruction arrives, the Records Center, using the tickler copy of Form 140 "Records Retirement Request" will complete items 1 through 7 on Form 141B. Retain copy 4 as suspense and forward remaining copies to the appropriate Component/Directorate Records Management Officer.
2. Component/Directorate Records Management Officer will forward the form to the custodian of these particular records.
3. The custodian of the records will attach a copy of the Form 140 "Records Retirement Request" and Form 140A "Records Shelf List" for these particular records and return to the Component Records Management Officer. NOTE: If a Form 140A "Records Shelf List" has not been prepared, the custodian of the records must provide a detailed list of the records before returning the forms to the Component Records Management Officer.
4. The Component Records Management Officer will review the forms for completeness and attachments, concur/nonconcur, sign and date in appropriate box and forward to the Directorate Records Management Officer.

FORM 141C - REQUEST FOR AUTHORIZATION TO DESTROY  
RECORDS IN OFFICE--3 part set

1. Before destroying any records in the office area, each custodian of records must consult with the Component Records Management Officer to determine that the records are covered by an approved Records Control Schedule and that they are not subject to pending legal or investigative requirements, based on information provided by the General Counsel through the CIA RMO and Directorate RMO. If there is no question that the records can be destroyed without further approval, the destruction may take place within the office area.
2. If there is any question whether the records should be destroyed, the custodian of the records must complete Form 141C "Request for authorization to destroy records in office" using the current records control schedule. Complete items 2 through 9, providing a complete detailed description, disposition instructions and listing of the records in question; retain copy 3 and forward remaining copies to Component RMO.
3. Component Records Management Officer will review the form for completeness, concur/nonconcur, sign and date in appropriate box and forward to the Directorate Records Management Officer.

Form 141B (Continued)

5. Directorate Records Management Officer will concur/nonconcur, sign and date in appropriate box and forward set to RAB.
6. RAB will forward to appropriate contact in OGC, and will do follow-up.
7. Office of General Counsel will review the form and the attachments for possible legal implications. After review, OGC representative will concur/nonconcur, sign and date in appropriate box, and return to Chief, Information Systems Analysis Staff for approval or denial.
8. C/ISAS will sign and date in appropriate box, and regardless of approval or denial, will disseminate copies to:

Copy 1 - Records Center (Record Copy)  
will be attached to permanent  
copy of Form 140

Copy 2 - RAB (attach to current schedule)  
Info

Copy 3 - Component RMO.

Form 141C (Continued)

4. Directorate Records Management Officer will concur/nonconcur, sign and date in appropriate box and forward set to RAB.
5. RAB will forward to appropriate contact in OGC, and will do follow-up.
6. Office of General Counsel will review the form and the attachments for possible legal implications. After review, OGC representative will concur/nonconcur, sign and date in appropriate box, and return to Chief, Information Systems Analysis Staff for approval or denial.
7. C/ISAS will sign and date in appropriate box, and regardless of approval or denial, will disseminate copies to:

Copy 1 - RAB (Record Copy)  
attached to Records Control Schedule

Copy 2 - Component RMO

NOTE: If Custodian, Component/Directorate RMO or OGC nonconcur in destruction of these records (in total or in part) item 13 must be completed.

|   |          |            |
|---|----------|------------|
| TRANSMITTAL SLIP  |          | DATE       |
| TO:   |          | 5/11       |
| ROOM NO.  |          | C/187A3118 |
| BUILDING  |          |            |
| REMARKS:  |          |            |
| <p>Thanks.</p> <p>B.</p> <p>HAZ - FYI &amp; RETENTION</p> |          |            |
| FROM:   |          | A/DDA      |
| ROOM NO.  | BUILDING | EXTENSION  |

SENDER WILL CHECK CLASSIFICATION TOP AND BOTTOM

UNCLASSIFIED CONFIDENTIAL SECRET

# OFFICIAL ROUTING SLIP

| TO | NAME AND ADDRESS | DATE        | INITIALS    |
|----|------------------|-------------|-------------|
| 1  | EO-DDA           | 2/8         | [Signature] |
| 2  | ADDA             | 8 FEB 1977  | [Signature] |
| 3  | DDA              | 10 FEB 1977 | [Signature] |
| 4  | AI-DDA           |             |             |
| 5  |                  |             |             |
| 6  |                  |             |             |

|             |              |                |
|-------------|--------------|----------------|
| ACTION      | DIRECT REPLY | PREPARE REPLY  |
| APPROVAL    | DISPATCH     | RECOMMENDATION |
| COMMENT     | FILE         | RETURN         |
| CONCURRENCE | INFORMATION  | SIGNATURE      |

## Remarks:

This reg - at long last - is about ready to go into the formal coordination stage.

I think you should be aware of it in some detail at this early stage.

|                                   |              |        |
|-----------------------------------|--------------|--------|
| FOLD HERE TO RETURN TO SENDER     |              |        |
| FROM: NAME, ADDRESS AND PHONE NO. | DATE         |        |
| AI/DDA                            | 2/7          |        |
| UNCLASSIFIED                      | CONFIDENTIAL | SECRET |

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